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Security Council Committee established pursuant to resolution 1540 (2004)

Note verbale dated 14 December 2016 from the Permanent Mission of Slovakia to the United Nations addressed to the Chair of the Committee

The Permanent Mission of the Slovak Republic to the United Nations presents its compliments to the Chair of the Security Council Committee established pursuant to resolution 1540 (2004) and has the honour to transmit herewith the updated national report of Slovakia for 2016 submitted pursuant to paragraph 4 of resolution 1540 (2004) (see annex I) and the detailed up-to-date matrix* to be posted on the website of the Committee (see annex II).

* The matrix as submitted by Slovakia will appear in English only, the original language of submission, as agreed by the Committee.

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Annex I to the note verbale dated 14 December 2016 from the Permanent Mission of Slovakia to the United Nations addressed to the Chair of the Committee

Updated report of Slovakia for 2016 on the implementation of resolution 1540 (2004)

Security Council resolution 1540 (2004) is an important tool in coping with the challenge of the proliferation of weapons of mass destruction and in preventing such proliferation to non-State actors. Slovakia has welcomed the unanimous adoption of the resolution with unequivocal support in the expression of its long-standing policy against the proliferation of weapons of mass destruction and their means of delivery. In practical terms, this policy has continuously been translated into national legislation and executive and enforcement measures.

The present report is an updated version of the national report of Slovakia submitted in 2004 pursuant to paragraph 4 of resolution 1540 (2004). It reflects the current state of legislative, executive, enforcement and other measures relating to the specific provisions of the resolution in general terms. An integral part of the report is the updated matrix, which specifies the implementation of the resolution in more detail.

Slovakia is firmly committed to implementing resolution 1540 (2004) and is ready to fully cooperate with the Committee.

Commitment to international instruments

As a successor State to the Czech and Slovak Federal Republic, Slovakia has been or has become, since its establishment on 1 January 1993, a party to the following international instruments relating to the prohibition of the use or non-proliferation of weapons of mass destruction:

(a) Treaty on the Non-Proliferation of Nuclear Weapons;

(b) Convention on the Physical Protection of Nuclear Material and 2005 Amendment thereto;

(c) Antarctic Treaty;

(d) Treaty on Principles Governing the Activities of States in the Exploration and Use of Outer Space, including the Moon and Other Celestial Bodies;

(e) Treaty on the Prohibition of the Emplacement of Nuclear Weapons and Other Weapons of Mass Destruction on the Seabed and the Ocean Floor and in the Subsoil Thereof;

(f) Treaty Banning Nuclear Weapon Tests in the Atmosphere, in Outer Space and Under Water;

(g) Comprehensive Nuclear-Test-Ban Treaty;

(h) Convention on the Prohibition of the Development, Production, Stockpiling and Use of Chemical Weapons and on Their Destruction (Chemical Weapons Convention);

(i) Convention on the Prohibition of the Development, Production and Stockpiling of Bacteriological (Biological) and Toxin Weapons and on Their Destruction;

(j) Protocol for the Prohibition of the Use in War of Asphyxiating, Poisonous or Other Gases, and of Bacteriological Methods of Warfare.

The agreement between Czechoslovakia and the International Atomic Energy Agency (IAEA) for the application of safeguards in connection with the Treaty on the Non-Proliferation of Nuclear Weapons was signed in 1972 with the purpose of preventing the diversion of nuclear energy from peaceful use to use in nuclear weapons or other nuclear explosive facilities (see INFCIRC/173). In 2005, upon the accession of Slovakia to the agreement between Belgium, Denmark, Germany, Ireland, Italy, Luxembourg, the Netherlands, the European Atomic Energy Community and IAEA in the implementation of article III (1) and (4) of the Treaty (and the Protocol thereto) (see INFCIRC/193), the IAEA safeguards agreement and the additional protocol thereto entered into force for Slovakia.

Slovakia is also a member of nearly all export control regimes — the Australia Group, the Wassenaar Arrangement on Export Controls for Conventional Arms and Dual-Use Goods and Technologies, the Nuclear Suppliers Group and the Zangger Committee — and is actively seeking membership of the Missile Technology Control Regime, the guidelines of which Slovakia applies as a part of its national export controls. In addition, Slovakia is a subscribing State to the Hague Code of Conduct against Ballistic Missile Proliferation. These international structures make an important contribution to the field of export control of materials and technologies usable in weapons of mass destruction and their means of delivery with the aim of strengthening the non-proliferation regime and preventing terrorists from acquiring these sensitive materials.

Slovakia has also joined a wider group of partner States supporting the Proliferation Security Initiative and its principles. The Initiative aims to stop the trafficking of weapons of mass destruction, their delivery systems and related materials to and from States and non-State actors of proliferation concern. Slovakia also participates in the Global Initiative to Combat Nuclear Terrorism with the aim of strengthening global capacity to prevent, detect and respond to nuclear terrorism. It is committed to implementing the statement of principles under the Global Initiative, which is consistent with resolution 1540 (2004).

Legislative measures

Slovakia has introduced into national legislation a wide range of measures designed to prevent the proliferation of weapons of mass destruction, including their proliferation by non-State actors.

Key national legislative documents relevant to resolution 1540 (2004) are as follows: Act No. 541/2004 on the Peaceful Use of Nuclear Energy (Atomic Act), Act No. 129/1998 on the Prohibition of Chemical Weapons (Chemical Weapons Prohibition Act) and Act No. 218/2007 on the Prohibition of Biological Weapons, as amended (Biological Weapons Prohibition Act). This legislation is complemented by Act No. 39/2011 on Dual-Use Items and Act No. 392/2011 on Trading with

Defence Industry Products. The above acts, among others, as well as the Criminal Code (Act No. 300/2005), set penalties in the event of violation of their provisions.

The most recent developments in the field of biology led to the adoption of Act No. 263/2015, which pertains to terms and conditions for access to genetic resources and the utilization of benefits resulting from their use.

Executive measures

At the executive level, the implementation of non-proliferation commitments and measures is coordinated by various institutions, including the Ministry of Economy, the Ministry of Health, the Ministry of Environment and the Nuclear Regulatory Authority.

The Ministry of Foreign and European Affairs is the point of contact for implementation and assistance with regard to resolution 1540 (2004) and the coordinator for the preparation of the national report to the Committee.

The Ministry of Economy fulfils the role of the national authority for the Chemical Weapons Convention and is responsible for coordinating tasks relating to export controls of defence industry products and dual-use items. With regard to the export control regime, the Ministry of Foreign and European Affairs and the Slovak Information Service have decisive influence (veto power) and their positions are binding when it comes to making decisions on export licensing.

The Ministry of Health, together with its implementing subsidiary, the Regional Authority of Public Health in Banská Bystrica, is the national authority for the Convention on the Prohibition of the Development, Production and Stockpiling of Bacteriological (Biological) and Toxin Weapons and on Their Destruction.

Pursuant to Act No. 263/2015, the Ministry of Environment is the national regulatory authority for the use of genetic resources.

The Nuclear Regulatory Authority exercises State supervision over the nuclear safety of nuclear installations, including radioactive waste management, spent fuel management and other stages of the fuel cycle, over nuclear materials, including their inspection and registration, and over the physical protection of nuclear installations and nuclear materials. It is the main body responsible for ensuring the implementation of commitments in the area of nuclear safety and security resulting from international obligations, agreements and commitments.

In exercising its responsibilities as the national regulatory authority for the use of genetic resources, the Ministry of Environment cooperates with the Ministry of Economy and other agencies, the Central Control and Testing Institute in Agriculture (Ministry of Agriculture and Rural Development), the State Institute for Drug Control (Ministry of Health), the Institute for State Control of Veterinary Biologicals and Medicines, and the Public Health Authority of the Slovak Republic (Ministry of Health).

Enforcement measures

Enforcement measures are primarily within the competence of the Ministry of Economy, the Nuclear Regulatory Authority, the Ministry of the Interior, the Ministry of Finance and other law enforcement agencies.

The Ministry of Economy controls trade involving sensitive goods. The Nuclear Regulatory Authority oversees any movement of nuclear and related items. Within the Ministry of the Interior, the Criminal Police Bureau of the Police Presidium is responsible for the investigation of criminal activities relating to dangerous substances. Within the Ministry of Finance, the Office of Criminal Investigation is responsible for the practical enforcement of the principles relating to the export or transit of controlled goods. The aforementioned departments have at their disposal relevant information provided by the Slovak Information Service.

Measures in support of encouraging compliance

Encouraging compliance represents a large portion of governmental outreach activities to industry. The main thrust of the activities is gradually being expanded beyond the basic forms of interaction between the relevant ministries and agencies, legally responsible for the policy of non-proliferation and export controls, and industry to measures seeking a more action-oriented approach.

Among the activities of the Government aimed at encouraging compliance are cooperation with the Slovak Chamber of Commerce and Industry (e.g. a seminar on licensing policy and procedures for exporters organized by the Ministry of Foreign and European Affairs in cooperation with the Ministry of Economy in 2015) and ad hoc consultations with exporters on particular export issues.

Activities within the European Union

Since joining the European Union, Slovakia has worked to actively contribute to the activities against the proliferation of weapons of mass destruction and their means of delivery and to the implementation of the European Union strategy against the proliferation of weapons of mass destruction.

Slovakia has regularly supported European Union documents relating to the implementation of the strategy in various fields (nuclear, chemical and biological), including Council of the European Union decisions in support of resolution 1540 (2004).

Assistance to other States

Slovakia, within its capacities, has adopted an active stance on the issue of international assistance in the field of non-proliferation. The main bulk of assistance activities and resources have been provided mostly through the relevant international institutions, including the European Union, IAEA (through the Nuclear Regulatory Authority) and the Organization for the Prohibition of Chemical Weapons (the Ministry of Economy/national authority for the Chemical Weapons Convention).

Slovakia recognizes the view of the Security Council that some States may require assistance in implementing the provisions of resolution 1540 (2004) and is prepared to consider any specific request for assistance.

Annex II to the note verbale dated 14 December 2016 from the Permanent Mission of Slovakia to the United Nations addressed to the Chair of the Committee

Matrix of Slovakia, as updated in December 2016

The information in the matrices originates primarily from national reports and is complemented by official government information, including that made available to intergovernmental organizations. The matrices are prepared under the direction of the 1540 Committee.

The 1540 Committee intends to use the matrices as a reference tool for facilitating technical assistance and to enable the Committee to continue to enhance its dialogue with States on their implementation of Security Council resolution 1540.

The matrices are not a tool for measuring compliance of States in their non-proliferation obligations but for facilitating the implementation of Security Council resolutions 1540 (2004), 1673 (2006), 1810 (2008) and 1977 (2011). They do not reflect or prejudice any ongoing discussions outside of the Committee, in the Security Council or any of its organs, of a State's compliance with its non-proliferation or any other obligations. Information on voluntary commitments is for reporting purpose only and does not constitute in any way a legal obligation arising from resolution 1540 or its successive resolutions.

OP 1 and related matters from OP 5, OP 6, OP 8 (a), (b), (c) and OP 10

State: **Slovakia**

Date: 14 December 2016

	Legally binding instruments, organizations, codes of conduct, arrangements, statements and other issues.	*YES*	*If YES, relevant information (i.e. signing, accession, ratification, etc.)*	*Remarks (information refers to the page of the English version of the national report or an official website)*
1	Nuclear Non-Proliferation Treaty (NPT)	X	Succession 1 January 1993 (further referred as "NPT Succession")	
2	Nuclear Weapons Free Zone/ Protocol(s)			
3	Convention for the Suppression of Acts of Nuclear Terrorism	X	Ratified 28 March 2006; Deposited 28 March 2006	
4	Convention on Physical Protection of Nuclear Material (CPPNM)	X	Succession 1 January 1993	

	Legally binding instruments, organizations, codes of conduct, arrangements, statements and other issues	*YES*	*If YES, relevant information (i.e. signing, accession, ratification, etc.)*	*Remarks (information refers to the page of the English version of the national report or an official website)*
5	2005 Amendment to the CPPNM	X	Ratified 19 October 2007; deposited 7 March 2013	
6	Comprehensive Nuclear-Test-Ban Treaty (CTBT)	X	Ratified 3 March 1998	
7	Chemical Weapons Convention (CWC)	X	Signed 14.01.1993, ratified 17. 10.1995, deposited 27.10.1995, in force 29.4.1997	
8	Biological Weapons Convention (BWC)	X	Succession 1 January 1993 (further referred as "BWC Succession")	
9	Geneva Protocol of 1925	X	Succession 1 January 1993	
10	Other Conventions/Treaties	X	1. EURATOM Treaty 2. Treaty on the Prohibition of the Emplacement of Nuclear Weapons and Other Weapons of Mass Destruction on the Sea-bed and the Ocean Floor and in the Subsoil Thereof (Seabed Treaty) — Succession 1 January 1993 3. Antarctic Treaty — Succession 1 January 1993 4. Treaty on Principles Governing the Activities of States in the Exploration and Use of Outer Space, including the Moon and Other Celestial Bodies (Outer Space Treaty) — Succession 1 January 1993 5. Slovakia ratified 14 UN conventions and Protocols on Terrorism (including 1999 International Convention for the Suppression of the Financing of Terrorism, 1997 International Convention for the Suppression of Terrorist Bombings, 1988 Convention for the Suppression of Unlawful Acts against the Safety of Maritime Navigation and 1988 Protocol for the Suppression of Unlawful Acts against the Safety of Fixed Platforms Located on the Continental Shelf)	

	Legally binding instruments, organizations, codes of conduct, arrangements, statements and other issues.	*YES*	*If YES, relevant information (i.e. signing, accession, ratification, etc.)*	*Remarks (information refers to the page of the English version of the national report or an official website)*
11	International Atomic Energy Agency (IAEA)	X	Member since 1993	
12	Hague Code of Conduct (HCOC)	X	Subscribed 25 November 2002	
13	Other Arrangements	X	1. Australia Group (AG) 2. Nuclear Suppliers Group (NSG) 3. Wassenaar Arrangement (WA) 4. Zangger Committee (ZC) 5. Proliferation Security Initiative (PSI) 6. Global Initiative to Combat Nuclear Terrorism (GICNT)	
14	General statement on non-possession of WMD	X	Slovakia does not possess any WMD	
15	General statement on commitment to disarmament and non-proliferation	X	European Union Strategy against Proliferation of WMD. WMD clause in European Union-Third countries Agreements.	
16	General statement on non-provision of WMD and related materials to non-State actors	X	Slovakia does not provide WMD and related materials to non-State actors.	
17	Other[1]	X	Member of EU, IMO, INTERPOL, CoE, OIE, OSCE, WHO, WCO/signed WCO Declaration on implementation of Framework of Standards to secure and facilitate global trade (SAFE Framework of Standards), Council of Europe Committee of Experts on the Evaluation of Anti-Money Laundering Measures and the Financing of Terrorism (MONEYVAL), Egmont Group, Revised Cotonou Partnership Agreement (CPA II)	

[1] Including, as appropriate, information with regard to membership in relevant international, regional or subregional organizations.

OP 2 — Nuclear Weapons (NW), Chemical Weapons (CW) and Biological Weapons (BW)

State: **Slovakia**

Date: 14 December 2016

Does national legislation exist which prohibits persons or entities to engage in one of the following activities? Can violators be penalized?		*National legal framework*				*Enforcement: civil/criminal penalties and others*				
		YES			*If YES, source document of national implementation law*	*YES*			*If YES, source document*	*Remarks*
		NW	*CW*	*BW*		*NW*	*CW*	*BW*		
1	Manufacture/ produce	X	X	X	**NW:** 1. NPT Succession 2. **Act 541/2004 on the Peaceful Use of Nuclear Energy** as amended (further referred as **Atomic Act**) **CW:** **Act 129/1998 on Prohibition of Chemical Weapons** (further referred as **CW Prohibition Act**) **BW:** 1. BWC Succession 2. **Act 218/2007 on Prohibition of Biological Weapons** (further referred as **BW Prohibition Act**)	X	X	X	**NW/CW/BW:** **Act 300/2005 Penal Code** as amended (further referred as **Penal Code**), § 298, 299, 419 **NW:** Atomic Act, § 3 **CW:** CW Prohibition Act, § 41 **BW:** BW Prohibition Act, § 23, 24	

	Does national legislation exist which prohibits persons or entities to engage in one of the following activities? Can violators be penalized?	*National legal framework*				*Enforcement: civil/criminal penalties and others*				*Remarks*
		YES			*If YES, source document of national implementation law*	*YES*			*If YES, source document*	
		NW	*CW*	*BW*		*NW*	*CW*	*BW*		
2	Acquire	X	X	X	**NW:** 1. NPT Succession 2. Atomic Act **CW:** CW Prohibition Act **BW:** 1. BWC Succession 2. BW Prohibition Act	X	X	X	**NW/CW/BW:** Penal Code, § 298, 299, 419 **NW:** Atomic Act, § 3 **CW:** CW Prohibition Act, § 41 **BW:** BW Prohibition Act, § 23, 24	
3	Possess	X	X	X	**NW:** 1. NPT Succession 2. Atomic Act **CW:** CW Prohibition Act **BW:** 1. BWC Succession 2. BW Prohibition Act	X	X	X	**NW/CW/BW:** Penal Code, § 298, 299, 419 **NW:** Atomic Act, § 3 **CW:** CW Prohibition Act, § 41 **BW:** BW Prohibition Act, § 23, 24	
4	Stockpile/store	X	X	X	**NW:** 1. NPT Succession 2. Atomic Act **CW:** CW Prohibition Act **BW:** 1. BWC Succession 2. BW Prohibition Act	X	X	X	**NW/CW/BW:** Penal Code, § 298, 299, 419 **NW:** Atomic Act, § 3 **CW:** CW Prohibition Act, § 41 **BW:** BW Prohibition Act, § 23, 24	

Does national legislation exist which prohibits persons or entities to engage in one of the following activities? Can violators be penalized?		National legal framework				Enforcement: civil/criminal penalties and others				Remarks
		YES			If YES, source document of national implementation law	YES			If YES, source document	
		NW	CW	BW		NW	CW	BW		
5	Develop	X	X	X	**NW:** 1. NPT Succession 2. Atomic Act **CW:** CW Prohibition Act **BW:** 1. BWC Succession 2. BW Prohibition Act	X	X	X	**NW/CW/BW:** Penal Code, § 298, 299, 419 **NW:** Atomic Act, § 3 **CW:** CW Prohibition Act, § 41 **BW:** BW Prohibition Act, § 23, 24	
6	Transport	X	X	X	**NW:** 1. NPT Succession 2. Atomic Act **CW:** CW Prohibition Act **BW:** 1. BWC Succession 2. BW Prohibition Act	X	X	X	**NW/CW/BW:** Penal Code, § 298, 299, 419 **NW:** Atomic Act, § 3 **CW:** CW Prohibition Act, § 41 **BW:** BW Prohibition Act, § 23, 24	
7	Transfer	X	X	X	**NW:** 1. NPT Succession 2. Atomic Act **CW:** CW Prohibition Act **BW:** 1. BWC Succession 2. BW Prohibition Act	X	X	X	**NW/CW/BW:** Penal Code, § 298, 299, 419 **NW:** Atomic Act, § 3 **CW:** CW Prohibition Act, § 41 **BW:** BW Prohibition Act, § 23, 24	

Does national legislation exist which prohibits persons or entities to engage in one of the following activities? Can violators be penalized?		*National legal framework*				*Enforcement, civil criminal penalties and others*				*Remarks*
		YES			*If YES, source document of national implementation law*	*YES*			*If YES, source document*	
		NW	*CW*	*BW*		*NW*	*CW*	*BW*		
8	Use	X	X	X	**NW:** 1. NPT Succession 2. Atomic Act **CW:** CW Prohibition Act **BW:** BW Prohibition Act	X	X	X	**NW/CW/BW:** Penal Code, § 298, 299, 419 **NW:** Atomic Act, § 3 **CW:** CW Prohibition Act, § 41 **BW:** BW Prohibition Act, § 23, 24	
9	Participate as an accomplice in above-mentioned activities	X	X	X	**NW/CW/BW:** Penal Code	X	X	X	**NW/CW/BW:** Penal Code, § 298, 299, 419	
10	Assist in above-mentioned activities	X	X	X	**NW/CW/BW:** Penal Code	X	X	X	**NW/CW/BW:** Penal Code, § 298, 299, 419	
11	Finance above-mentioned activities	X	X	X	**NW/CW/BW:** 1. Penal Code 2. Banking Act n. 483 of 2001 amending with the introduction of § 56a the Foreign Economic Relations Act n. 42 of 1980 3. Act No 297/2008 on the prevention of money laundering and terrorist financing	X	X	X	**NW/CW/BW:** 1. Penal Code, § 21 in connection to § 232, 233, 298, 299 and 419 2. Act No 297/2008 on the prevention of money laundering and terrorist financing, §32, 33	

Does national legislation exist which prohibits persons or entities to engage in one of the following activities? Can violators be penalized?		*National legal framework*				*Enforcement: civil criminal penalties and others*				
		YES			*If YES, source document of national implementation law*	*YES*			*If YES, source document*	*Remarks*
		NW	*CW*	*BW*		*NW*	*CW*	*BW*		
12	Above-mentioned activities related to means of delivery[2]	X	X	X	**BW:** BW Prohibition Act, § 3 **Means of delivery NW, BW, CW:** 1. Council Regulation (EC) n. 428/2009 2. Act 39/2011 on Dual Use Items	X	X	X	**BW:** BW Prohibition Act, § 23, 24 **Means of delivery NW, BW, CW:** Act 39/2011 on Dual Use Items, § 32, 33	
13	Involvement of non-State actors in above-mentioned activities	X	X	X	**NW/CW/BW:** Penal Code	X	X	X	**NW/CW/BW:** Penal Code, §§ 298, 299 and 419	
14	Other									

[2] Means of delivery: missiles, rockets and other unmanned systems capable of delivering nuclear, chemical, or biological weapons, that are specially designed for such use.

OP 3 (a) and (b) — Account for/Secure/Physically protect NW, CW and BW, including Related Materials[3]

State: **Slovakia**

Date: 14 December 2016

Are any of the following measures, procedures or legislation in place to account for, secure or otherwise protect NW, CW, BW and Related Materials? Can violators be penalized?		*National legal framework*				*Enforcement: civil/criminal penalties and others*				
		YES				*YES*				
		NW	*CW*	*BW*[a]	*If YES, source document*	*NW*	*CW*	*BW*	*If YES, source document*	*Remarks*
1	Measures to account for production	X	X	X	**NW:** 1. Atomic Act and relevant regulations of the **Nuclear Regulatory Authority of the Slovak Republic** (further referred as **NRA SR**) 2. Commission Regulation (EURATOM) 302/2005 on the application of EURATOM safeguards (Commission Regul. 302/2005/EURATOM) 3. INFCIRC/193 (accession 2005) **CW:** CW Prohibition Act **BW:** BW Prohibition Act	X	X	X	**NW/CW/BW:** Penal Code, § 298, 299, 419 **NW:** Atomic Act and relevant regulations of the **Nuclear Regulatory Authority of the Slovak Republic** (further referred as **NRA SR**), including the State System of Accounting for and Control of Nuclear Materials (SSAC) based on the IAEA Safeguards Agreement and the Additional Protocol **CW:** 1. CW Prohibition Act and relevant regulations of Ministry of Economy as the National Authority for prohibition of CW 2. **Act 67/2010 on chemical substances and preparations** (further referred as **Chemical Act**) **BW:** BW Prohibition Act and relevant regulations of Ministry of Health as the National Authority for prohibition of BW	

Are any of the following measures, procedures or legislation in place to account for, secure or otherwise protect NW, CW, BW and Related Materials? Can violators be penalized?		*National legal framework*				*Enforcement: civil criminal penalties and others*				*Remarks*
		YES				*YES*				
		NW	*CW*	*BW**	*If YES, source document*	*NW*	*CW*	*BW*	*If YES, source document*	
2	Measures to account for use	X	X	X	**NW:** 1. Atomic Act + relevant NRA SR regulations 2. Commission Regul. 302/2005/EURATOM 3. INFCIRC/193 (accession 2005) **CW:** CW Prohibition Act **BW:** BW Prohibition Act	X	X	X	**NW/CW/BW:** Penal Code, § 298, 299, 419 **NW:** Atomic Act and relevant regulations of the NRA SR, including the SSAC **CW:** 1. CW Prohibition Act and relevant regulations of Ministry of Economy 2. Chemical Act **BW:** BW Prohibition Act and relevant regulations of Ministry of Health	

Are any of the following measures, procedures or legislation in place to account for, secure or otherwise protect NW, CW, BW and Related Materials? Can violators be penalized?		*National legal framework*				*Enforcement: civil criminal penalties and others*				*Remarks*
		YES				*YES*				
		NW	*CW*	*BW**	*If YES, source document*	*NW*	*CW*	*BW*	*If YES, source document*	
3	Measures to account for storage	X	X	X	**NW:** 1. Atomic Act + relevant NRA SR regulations 2. Commission Regulation 302/2005/EURATOM 3. INFCIRC/193 (accession 2005) **CW:** CW Prohibition Act **BW:** BW Prohibition Act	X	X	X	**NW/CW/BW:** Penal Code, § 298, 299, 419 **NW:** Atomic Act + relevant NRA SR regulations concerning the storage of nuclear material, including the SSAC **CW:** 1. CW Prohibition Act and relevant regulations of Ministry of Economy 2. Chemical Act **BW:** BW Prohibition Act and relevant regulations of Ministry of Health	
4	Measures to account for transport	X	X	X	**NW:** Atomic Act + relevant NRA SR regulations **CW:** 1. Council Directive 2008/68/EC 2. CW Prohibition Act **BW:** Council Directive 2008/68/EC	X	X	X	**NW:** Atomic Act + relevant NRA SR regulations, including the SSAC **CW:** 1. CW Prohibition Act and regulations of Ministry of Economy 2. Chemical Act **BW:** BW Prohibition Act and relevant regulations of Ministry of Health	

Are any of the following measures, procedures or legislation in place to account for, secure or otherwise protect NW, CW, BW and Related Materials? Can violators be penalized?		*National legal framework*				*Enforcement: civil criminal penalties and others*				
		YES				*YES*				
		NW	*CW*	*BW**	*If YES, source document*	*NW*	*CW*	*BW*	*If YES, source document*	*Remarks*
5	Other measures for accounting	X			**NW:** 1. Council Directive 2003/122/ EURATOM 2. Directive 96/29/EURATOM	X			**NW:** The State System of Accounting for and Control of Nuclear Materials (SSAC) based on the Safeguards Agreement between the IAEA and the Slovak Government. The regulatory activity in the field of the accounting for and control of nuclear materials also includes review and processing of the reports of any nuclear material inventory change sent to the NRA SR by nuclear material users, elaboration and submission of advance notifications, special and accountancy reports for the IAEA	
6	Measures to secure production	X	X		**NW:** Atomic Act + relevant NRA SR regulations **CW:** 1. Directive 98/24/EC 2. CW Prohibition Act 3. Chemical Act	X	X	X	**NW:** 1. Atomic Act + relevant NRA SR regulations, including the SSAC and control of high activity sealed radioactive sources (HASS) 2. Penal Code, § 298 **CW:** 1. Penal Code, § 298 2. Chemical Act **BW:** Penal Code, § 298	

Are any of the following measures, procedures or legislation in place to account for, secure or otherwise protect NW, CW, BW and Related Materials? Can violators be penalized?		*National legal framework*				*Enforcement, civil/criminal penalties and others*				
		YES				*YES*				
		NW	*CW*	*BW**	*If YES, source document*	*NW*	*CW*	*BW*	*If YES, source document*	*Remarks*
7	Measures to secure use	X	X	X	**NW:** Atomic Act + relevant NRA SR regulations **CW:** 1. Directive 98/24/EC 2. CW Prohibition Act 3. Chemical Act **BW:** 1. Directive 2000/54/EC 2. Regulation (EC) of the European Parliament and the Council n. 851/2004 3. BW Prohibition Act	X	X	X	**NW:** 1. Atomic Act + relevant NRA SR regulations, including the SSAC and control of HASS 2. Penal Code, § 298 **CW:** 1. Penal Code, § 298 2. Chemical Act **BW:** Penal Code, § 298	
8	Measures to secure storage	X	X	X	**NW:** Atomic Act + relevant NRA SR regulations **CW:** 1. Directive 98/24/EC 2. CW Prohibition Act 3. Chemical Act **BW:** 1. Directive 2000/54/EC 2. BW Prohibition Act	X	X	X	**NW:** 1. Atomic Act + relevant NRA SR regulations, including the SSAC and control of HASS 2. Penal Code, § 298 **CW:** 1. Penal Code, § 298 2. Chemical Act **BW:** Penal Code, § 298	

Are any of the following measures, procedures or legislation in place to account for, secure or otherwise protect NW, CW, BW and Related Materials? Can violators be penalized?		*National legal framework*				*Enforcement: civil/criminal penalties and others*				
		YES				*YES*				
		NW	*CW*	*BW**	*If YES, source document*	*NW*	*CW*	*BW*	*If YES, source document*	*Remarks*
9	Measures to secure transport	X	X	X	**NW:** Council Directive 2008/68/EC **CW:** 1. Council Directive 2008/68/EC 2. Regulation (EC) No 1272/2008 of the European Parliament and of the Council of 16 December 2008 on classification, labelling and packaging of substances and mixtures 3. CW Prohibition Act **BW:** Council Directive 2008/68/EC	X	X	X	**NW:** 1. Directive 92/3 EURATOM: prior notification of shipments 2. Route charting by NRA SR **CW:** 1. Party to ADR and RID agreements 2. Penal Code, § 298 **BW:** 1. Party to ADR and RID agreements 2. Penal Code, § 298	
10	Other measures for securing	X	X	X	**NW/CW/BW:** Act 355/2007 on Public Health Protection	X	X	X	**NW/CW/BW:** Act 355/2007 on Public Health Protection	

Are any of the following measures, procedures or legislation in place to account for, secure or otherwise protect NW, CW, BW and Related Materials? Can violators be penalized?		*National legal framework*				*Enforcement: civil/criminal penalties and others*				
		YES				*YES*				
		NW	*CW*	*BW**	*If YES, source document*	*NW*	*CW*	*BW*	*If YES, source document*	*Remarks*
11	Regulations for physical protection of facilities/ materials/ transports	X	X	X	**NW:** Atomic Act **CW:** Act 67/2010 (Chemical Act) **BW:** BW Prohibition Act	X	X	X	**NW:** Protection system and a set of technical tools and organizational measures to prevent unauthorized use of facilities, materials, etc. **CW:** Act 67/2010 (Chemical Act), §38 **BW:** BW Prohibition Act, §23, §24	
12	Licensing/ registration of installations/ facilities/ persons/entities/ use/handling of materials	X	X	X	**NW:** Atomic Act **CW:** 1. CW Prohibition Act 2. Chemical Act **BW:** 1. Directive 2000/54/EC 2. BW Prohibition Act	X	X	X	**NW/CW/BW:** Penal Code, § 298 **NW:** Atomic Act **CW:** 1. CW Prohibition Act, § 41 2. Chemical Act, §38 **BW:** BW Prohibition Act, §23, §24	
13	Reliability check of personnel	X	X	X	**NW:** Atomic Act **CW:** CW Prohibition Act **BW:** BW Prohibition Act	X	X	X	**NW:** Atomic Act **CW:** CW Prohibition Act, §§ 11, 12: A responsible person shall be deemed to have a clean criminal record for the purposes hereof if such person, who: a) was not convicted for an offence whose merits are connected with the activity to be licensed, b) was not convicted for deliberate offence.) **BW:** BW Prohibition Act, §12	

Are any of the following measures, procedures or legislation in place to account for, secure or otherwise protect NW, CW, BW and Related Materials? Can violators be penalized?		*National legal framework*				*Enforcement, civil criminal penalties and others*				
		YES				*YES*				
		NW	*CW*	*BW**	*If YES, source document*	*NW*	*CW*	*BW*	*If YES, source document*	*Remarks*
14	Measures to account for/ secure/ physically protect means of delivery									

[3] Related materials: materials, equipment and technology covered by relevant multilateral treaties and arrangements, or included on national control lists, which could be used for the design, development, production or use of nuclear, chemical and biological weapons and their means of delivery.

* Information required in this section may also be available in the State's Confidence Building Measures report, if submitted to the BWC Implementation Support Unit (online at: http://www.unog.ch/80256EE600585943/(httpPages)/4FA4DA37A55C7966C1257580055D9E8?OpenDocument).

OP 3 (a) and (b) — Account for/Secure/Physically protect NW including Related Materials (NW specific)

State: **Slovakia**

Date: 14 December 2016

Are any of the following measures, procedures or legislation in place to account for, secure or otherwise protect NW and Related Materials? Can violators be penalized?		*National legal framework*		*Enforcement: civil/criminal penalties and others*		
		YES	*If YES, source document*	*YES*	*If YES, source document*	*Remarks*
1	National regulatory authority	X	Nuclear Regulatory Authority of the Slovak Republic (NRA SR) Act No. 575/2001 as Amended (Act on Competences) Act 541/2004 on the Peaceful Use of Nuclear Energy as amended (Atomic Act)	X	Nuclear Regulatory Authority of the Slovak Republic (NRA SR)	
2	IAEA Safeguards Agreements	X	INFCIRC/193 (Accession 2005)	X	Nuclear Regulatory Authority of the Slovak Republic, Penal Code	
3	IAEA Code of Conduct on Safety and Security of Radioactive Sources	X	Expressed support	X	Point of contact: Public Health Authority of the Slovak Republic (Ministry of Health) http://www.uvzsr.sk/en/	
4	Supplementary Guidance on the Import and Export of Radioactive Sources of the Code of Conduct on the Safety and Security of Radioactive Sources	X	Expressed support	X	Expressed support	

Are any of the following measures, procedures or legislation in place to account for, secure or otherwise protect NW and Related Materials? Can violators be penalized?		*National legal framework*		*Enforcement: civil criminal penalties and others*		
		YES	*If YES, source document*	*YES*	*If YES, source document*	*Remarks*
5	IAEA Database on Illicit Trafficking of Nuclear Materials and other Radioactive Sources	X	Participates	X	Participates	
6	Other Agreements related to IAEA	X	1. Convention on Early Notification of a Nuclear Accident, in force 1993 2. Convention on Assistance in the Case of a Nuclear Accident or Radiological Emergency, in force 1993 3. Convention on Nuclear Safety, in force 1996 4. Vienna Convention on Civil Liability for Nuclear Damage, in force 1995 5. Revised Supplementary Agreement Concerning the provision of technical Assistance by the IAEA, in force 1995 6. Agreement on the Privileges and immunities of the IAEA , in force 1993 7. Joint Protocol Relating to the Application of the Vienna Convention and the Paris Convention, in force 1995 8. Joint Convention on the safety of Spent Fuel Management and on the Safety of Radioactive Waste Management, 2001	X	1. Convention on Early Notification of a Nuclear Accident, in force 1993 2. Convention on Assistance in the Case of a Nuclear Accident or Radiological Emergency, in force 1993 3. Convention on Nuclear Safety, in force 1996 4. Vienna Convention on Civil Liability for Nuclear Damage, in force 1995 5. Revised Supplementary Agreement Concerning the provision of technical Assistance by the IAEA, in force 1995 6. Agreement on the Privileges and immunities of the IAEA, in force 1993 7. Joint Protocol Relating to the Application of the Vienna Convention and the Paris Convention, in force 1995 8. Joint Convention on the safety of Spent Fuel Management and on the Safety of Radioactive Waste Management, 2001	

Are any of the following measures, procedures or legislation in place to account for, secure or otherwise protect NW and Related Materials? Can violators be penalized?		*National legal framework*		*Enforcement: civil/criminal penalties and others*		
	YES	*If YES, source document*		*YES*	*If YES, source document*	*Remarks*
7	**Additional national legislation/ regulations related to nuclear materials including CPPNM**					
8	Other					

OP 3 (a) and (b) — Account for/Secure/Physically protect CW including Related Materials (CW specific)

State: **Slovakia**

Date: 14 December 2016

Are any of the following measures, procedures or legislation in place to account for, secure or otherwise protect CW and Related Materials? Can violators be penalized?		*National legal framework*		*Enforcement: civil/criminal penalties and others*		*Remarks*
		YES	*If YES, source document*	*YES*	*If YES, source document*	
1	National CWC authority	X	Ministry of Economy (CW Prohibition Act, § 3) Act No. 129/1998 on the Prohibition of Chemical Weapons (CW Prohibition Act)	X	Ministry of Economy (CW Prohibition Act, § 3)	
2	Reporting Schedule I, II and III chemicals to OPCW	X	CW Prohibition Act	X	CW Prohibition Act, §3	
3	Account for, secure or physically protect "old chemical weapons"	X	CW Prohibition Act	X	CW Prohibition Act, §5	
4	Other legislation/ regulations controlling chemical materials	X	Act 67/2010 on chemical substances and preparations (Chemical Act)	X	Chemical Act, §§ 33-38 (administrative offences, fines)	
5	Other					

OP 3 (a) and (b) — Account for/Secure/Physically protect BW including Related Materials (BW specific)

State: **Slovakia**

Date: 14 December 2016

Are any of the following measures, procedures or legislation in place to account for, secure or otherwise protect BW and Related Materials? Can violators be penalized?		*National legal framework*		*Enforcement, civil criminal penalties and others*		*Remarks*
		YES	*If YES, source document*	*YES*	*If YES, source document*	
1	Regulations for genetic engineering work	X	Directive 2001/18/EC of the European Parliament and of the Council on the deliberate release into the environment Regulation (EC) No 1830/2003 of the European Parliament and of the Council concerning the traceability and labelling of genetically modified organisms and the traceability of food and feed products produced from genetically modified organisms and amending Directive 2001/18/EC Directive 2009/41/EC of the European Parliament and of the Council on the contained use of genetically modified micro-organisms Act 151/2002 on use of genetic technologies and genetically modified organisms, as amended Act 263/2015 on terms and conditions for access to genetic resources and utilizing benefits resulting from their use	X	Act 151/2002 on use of genetic technologies and genetically modified organisms, as amended Act 263/2015 on terms and conditions for access to genetic resources and utilising benefits resulting from their use; § 10-11 Offences; Ministry of Environment as the National Regulation Authority for use of genetic resources; cooperation with Ministry of Economy and other agencies, e.g.: – Central Control and Testing Institute in Agriculture/Ministry of Agriculture – State Institute for Medicament Control/Ministry of Health – Institute for State Control of Veterinary Biologicals and Medicaments – Public Health Authority of the Slovak Republic/Ministry of Health Act No. 300/2005 Penal Code, § 161, §309	

Are any of the following measures, procedures or legislation in place to account for, secure or otherwise protect BW and Related Materials? Can violators be penalized?		*National legal framework*		*Enforcement: civil criminal penalties and others*		*Remarks*
		YES	*If YES, source document*	*YES*	*If YES, source document*	
2	Other legislation/ regulations related to safety and security of biological materials	X	Regulation of Ministry of Environment No. 399/2005 (as amended by reg. 312/2008 and reg. 86/2013) on implementation of the Act No. 151/2002 on use of genetic technologies and genetically modified organisms, as amended	X	Regulation of Ministry of Environment No. 399/2005 (as amended by reg. 312/2008 and reg. 86/2013) on implementation of the Act No. 151/2002 on use of genetic technologies and genetically modified organisms, as amended	
3	Other					

OP 3 (c) and (d) and related matters from OP 6 and OP 10 — Controls of NW, CW and BW, including Related Materials

State: **Slovakia**

Date: 14 December 2016

Which of the following legislation, procedures, measures, agencies exist to control border crossings, export/import and other transfers of NW, CW, BW and Related Materials? Can violators be penalized?		*National legal framework*				*Enforcement: civil/criminal penalties, and measures of implementation, etc.*				
		YES				*YES*				
		NW	*CW*	*BW*	*If YES, source document*	*NW*	*CW*	*BW*	*If YES, source document*	*Remarks*
1	Border control	X	X	X	**NW/CW/BW:** 1. Council Regulation no. 2913/1992 (Community Customs Code) 2. Commission Regulation no. 2454/1993 (Implementing Provisions to the Community Customs Code) 3. EU Regulation no. 648 of 13 April 2005 (Security Amendment) 4. Regulation (EC) No 1889/2005 on controls of cash entering or leaving the Community 5. Customs Act 199/2004 6. Penal Code	X	X	X	**NW/CW/BW:** 1. Customs Act 199/2004 2. Act No. 333/2011 on Financial Administration (incl. custom offices and Financial Administration/Office of Criminal Investigation) 3. Penal Code, §§ 255-257, 294, 295, 298, 299	

	Which of the following legislation, procedures, measures, agencies exist to control border crossings, export/import and other transfers of NW, CW, BW and Related Materials? Can violators be penalized?	*National legal framework*				*Enforcement, civil/criminal penalties, and measures of implementation, etc.*				*Remarks*
		YES				*YES*				
		NW	*CW*	*BW*	*If YES, source document*	*NW*	*CW*	*BW*	*If YES, source document*	
2	Technical support of border control measures	X			**NW:** 1. Council Regulation no. 2913/1992 (Community Customs Code) 2. EU Regulation no. 648 of 13 April 2005 (Security Amendment) 3. New Computerised Transit System (NCTS) — Security and Safety Aspects is to be updated in its features as required by Regulation (EC) 648/2005	X			**NW:** Portable x-ray, pagers for detection of radioactive substances	
3	Control of brokering, trading in, negotiating, otherwise assisting in sale of goods and technology	X	X	X	**NW/CW/BW:** Council regulation (EC) No 428/2009 — Community regime for the control of exports, transfer, brokering and transit of dual-use items (Council Regulation (EC) n. 428/2009 as amended) Act 39/2011 on Dual Use Items	X	X	X	**NW/CW/BW:** 1. Act 39/2011 on Dual Use Items 2. Act 392/2011 on Trade with Defence Industry Products	

Which of the following legislation, procedures, measures, agencies exist to control border crossings, export/import and other transfers of NW, CW, BW and Related Materials? Can violators be penalized?		*National legal framework*				*Enforcement: civil/criminal penalties, and measures of implementation, etc*				*Remarks*
		YES				*YES*				
		NW	*CW*	*BW*	*If YES, source document*	*NW*	*CW*	*BW*	*If YES, source document*	
4	Enforcement agencies/ authorities	X	X	X	1. Customs Act 199/2004 2. Memoranda on co-operation between the customs authorities and technical research institutes in 2004. The memoranda provide for an important tool in identifying, specifying and categorizing of various potential dual-use items				**NW/CW/BW:** Ministry of Finance/Financial Administration (Custom Offices, Office of Criminal Investigation) Ministry of Interior/Criminal Police Bureau	
5	Export control legislation in place	X	X	X	**NW/CW:** 1. Council Regulation (EC) n. 428/2009 2. Council Regulation No. 2913/1992 (Community Customs Code) 3. Commission Regulation No. 2454/1993 (Implementing Provisions of the Community Customs Code) 4. Act 39/2011 on Dual Use Items 5. Act No. 392/2011 on trade with defence industry products 6. Customs Act 199/2004 **CW:** CW Prohibition Act **BW:** BW Prohibition Act	X	X	X	**NW/CW/BW:** 1. Act 39/2011 on Dual Use Items 2. Act 392/2011 on Trade with Defence Industry Products **CW:** CW Prohibition Act, § 19 (Highly dangerous chemicals may be exported or imported only if the licence is issued for export and import of highly dangerous chemicals for the research, medical, pharmaceutical or protective purposes) **BW:** BW Prohibition Act	

Which of the following legislation, procedures, measures, agencies exist to control border crossings, export import and other transfers of NW, CW, BW and Related Materials? Can violators be penalized?		*National legal framework*				*Enforcement: civil criminal penalties, and measures of implementation, etc.*				*Remarks*
		YES				*YES*				
		NW	*CW*	*BW*	*If YES, source document*	*NW*	*CW*	*BW*	*If YES, source document*	
6	Licensing provisions	X	X	X	**NW/CW/BW:** 1. Council Regulation (EC) n. 428/2009 2. Act 39/2011 on Dual Use Items 3. Act 392/2011 on Trade with Defence Industry Products **CW:** 1. CW Prohibition Act 2. Act No. 392/2011 on trade with defence industry products	X	X	X	**NW/CW/BW:** 1. Act 39/2011 on Dual Use Items 2. Act 392/2011 on Trade with Defence Industry Products **CW:** CW Prohibition Act, §. 21-24	
7	Individual licensing	X	X	X	**NW/CW/BW:** 1. Council Regulation (EC) n. 428/2009 as amended 2. Act 39/2011 on Dual Use Items **CW:** 1. CW Prohibition Act 2. Act No. 392/2011 on trade with defence industry products	X	X	X	**NW/CW/BW:** 1. Act 39/2011 on Dual Use Items 2. Act 392/2011 on Trade with Defence Industry Products 3. Customs Act No. 199/2004, Art. 73	

Which of the following legislation, procedures, measures, agencies exist to control border crossings, export import and other transfers of NW, CW, BW and Related Materials? Can violators be penalized?		*National legal framework*				*Enforcement: civil criminal penalties, and measures of implementation, etc*				*Remarks*
		YES				*YES*				
		NW	*CW*	*BW*	*If YES, source document*	*NW*	*CW*	*BW*	*If YES, source document*	
8	General licensing	X	X	X	**NW/CW/BW:** 1. Council Regulation (EC) n. 428/2009 as amended 2. Act 39/2011 on Dual Use Items **CW:** 1. CW Prohibition Act 2. Act 392/2011 on Trade with Defence Industry Products	X	X	X	**NW/CW/BW:** 1. Act 39/2011 on Dual Use Items 2. Act 392/2011 on Trade with Defence Industry Products	
9	Exceptions from licensing	X	X	X	**NW/CW/BW:** 1. Council Regulation (EC) n. 428/2009 as amended 2. Act 39/2011 on Dual Use Items	X	X	X	**NW/CW/BW:** An authorization shall be required for intra-Community transfers of dual-use items listed in Annex IV. Items listed in Part 2 of Annex IV shall not be covered by a general authorization	
10	Licensing of deemed export/visa	X	X	X	**NW/CW/BW:** Council Joint Action of 22 June 2000 concerning the control of technical assistance related to certain military end-uses					

Which of the following legislation, procedures, measures, agencies exist to control border crossings, export/import and other transfers of NW, CW, BW and Related Materials? Can violators be penalized?		*National legal framework*				*Enforcement: civil/criminal penalties, and measures of implementation, etc.*				*Remarks*
		YES				*YES*				
		NW	*CW*	*BW*	*If YES, source document*	*NW*	*CW*	*BW*	*If YES, source document*	
11	National licensing authority	X	X	X	**NW/CW/BW:** 1. Council Regulation (EC) n. 428/2009, Art. 9: for all other exports for which an authorisation is required under the Regulation, leaves to the national authorities the final decision as to whether to grant a national, global or individual export licence 2. Act 39/2011 on Dual Use Items 3. Act 392/2011 on Trade with Defence Industry Products	X	X	X	**NW:** Nuclear Regulatory Authority — ÚJD **CW:** Ministry of Economy, Division of Trade Measures (CWC National Authority, National Authority for Export Control of Military and Dual-Use Goods) **BW:** BWC National Authority/ Ministry of Health	
12	Inter-agency review for licences	X	X	X	**NW/CW/BW:** 1. Council regulation (EC) No 428/2009 Community regime for the control of exports, transfer, brokering and transit of dual-use items sets up a Coordination Group (Article 23) chaired by the Commission, at which each Member State is represented 2. Act 39/2011 on Dual Use Items 3. Act 392/2011 on Trade with Defence Industry Products	X	X	X	**NW:** Nuclear Regulatory Authority — ÚJD **CW:** Ministry of Economy, Ministry of Foreign and European Affairs, Ministry of Defence, Ministry of Interior, Financial Administration/Office of Criminal Investigation, Slovak Intelligence Service **BW:** BWC National Authority/ Ministry of Health	

	Which of the following legislation, procedures, measures, agencies exist to control border crossings, export/import and other transfers of NW, CW, BW and Related Materials? Can violators be penalized?	*National legal framework*				*Enforcement: civil/criminal penalties, and measures of implementation, etc.*				*Remarks*
		YES				*YES*				
		NW	*CW*	*BW*	*If YES, source document*	*NW*	*CW*	*BW*	*If YES, source document*	
13	Control lists	X	X	X	**NW/CW/BW:** 1. Council Regulation (EC) n. 428/2009 as amended 2. Act 39/2011 on Dual Use Items	X	X	X	**NW/CW/BW:** 1. Council regulation (EC) n. 428/2009, Annex 1 2. Common Military List of the European Union as amended 3. Regulation of Ministry of Economy as periodically amended: List of Defence Industry Products	
14	Updating of lists	X	X	X	**NW/CW/BW:** 1. Council Regulation (EC) n. 428/2009 as amended 2. Act 39/2011 on Dual Use Items	X	X	X	**NW/CW/BW:** Council Regulation (EC) n. 428/2009, Art. 15; The lists of dual-use items set out in Annex I and Annex IV shall be updated in conformity with the relevant obligations and commitments, and any modification thereof, that each Member State has accepted as a member of the international non-proliferation regimes and export control arrangements, or by ratification of the relevant international treaties	
15	Inclusion of technologies	X	X	X	**NW/CW/BW:** 1. Council Regulation (EC) n. 428/2009 as amended 2. Act 39/2011 on Dual Use Items	X	X	X	**NW/CW/BW:** Council Regulation (EC) n. 428/2009, Art. 24	

Which of the following legislation, procedures, measures, agencies exist to control border crossings, export/import and other transfers of NW, CW, BW and Related Materials? Can violators be penalized?		*National legal framework*				*Enforcement: civil/criminal penalties, and measures of implementation, etc.*				*Remarks*
		YES				*YES*				
		NW	*CW*	*BW*	*If YES, source document*	*NW*	*CW*	*BW*	*If YES, source document*	
16	Inclusion of means of delivery	X	X	X	**NW/CW/BW:** 1. Council Regulation (EC) n. 428/2009 as amended 2. Act 39/2011 on Dual Use Items	X	X	X	**NW/CW/BW:** Council Regulation (EC) n. 428/2009, Art. 24	
17	End-user controls	X	X	X	**NW/CW/BW:** 1. Council Regulation (EC) n. 428/2009 2. EU Regulation n. 648/2005 (Security Amendment) 3. Act 39/2011 on Dual Use Items 4. Act 392/2011 on Trade with Defence Industry Products	X	X	X	**NW/CW/BW:** 1. Council Regulation (EC) n. 428/2009, Art. 24 2. EU Regulation n. 648/2005 (Security Amendment), Article 1.14 3. Act 39/2011 on Dual Use Items	
18	Catch all clause	X	X	X	**NW/CW/BW:** Council Regulation (EC) n. 428/2009	X	X	X	**NW/CW/BW:** Council Regulation (EC) n. 428/2009, Art. 4, 24	
19	Intangible transfers	X	X	X	**NW/CW/BW:** Council Regulation (EC) n. 428/2009	X	X	X	**NW/CW/BW:** Act 39/2011 on Dual Use Items, §28	

Which of the following legislation, procedures, measures, agencies exist to control border crossings, export/import and other transfers of NW, CW, BW and Related Materials? Can violators be penalized?		*National legal framework*				*Enforcement: civil/criminal penalties, and measures of implementation, etc.*				*Remarks*
		YES				*YES*				
		NW	*CW*	*BW*	*If YES, source document*	*NW*	*CW*	*BW*	*If YES, source document*	
20	Transit control	X	X	X	**NW/CW/BW:** 1. Council Regulation (EC) n. 428/2009 2. EU Regulation no. 648/2005 (Security Amendment) 3. Act 39/2011 on Dual Use Items 4. Act 392/2011 on Trade with Defence Industry Products 5. Customs Act No. 199/2004 §§ 15-16 **CW:** CW Prohibition Act, § 25 (Transit of highly dangerous chemical through the Slovak Republic shall take place only with certificate provided by the Ministry to the transport contractor)	X	X	X	**NW/BW/CW:** Council Regulation (EC) n. 428/2009, Art. 4, 24 **CW:** Act 129/1998, § 41	

Which of the following legislation, procedures, measures, agencies exist to control border crossings, export import and other transfers of NW, CW, BW and Related Materials? Can violators be penalized?		*National legal framework*				*Enforcement: civil criminal penalties, and measures of implementation, etc*				*Remarks*
		YES				*YES*				
		NW	*CW*	*BW*	*If YES, source document*	*NW*	*CW*	*BW*	*If YES, source document*	
21	Trans-shipment control	X	X	X	**NW/CW/BW:** 1. Council Regulation (EC) n. 428/2009 2. EU Regulation no. 648/2005 (Security Amendment) 3. Act 39/2011 on Dual Use Items 4. Act 392/2011 on Trade with Defence Industry Products 5. Customs Act No. 199/2004 §§ 15-16	X	X	X	**NW/CW/BW:** 1. Council Regulation (EC) n. 428/2009 2. Customs Act No. 199/2004 §§ 15-16	
23	Control of providing funds				Council Regulation (EC) No. 2580 of 27 December 2001 on specific restrictive measures directed against certain persons and entities with a view to combating terrorism					

Which of the following legislation, procedures, measures, agencies exist to control border crossings, export/import and other transfers of NW, CW, BW and Related Materials? Can violators be penalized?		*National legal framework*				*Enforcement: civil/criminal penalties, and measures of implementation, etc.*				*Remarks*
		YES				*YES*				
		NW	*CW*	*BW*	*If YES, source document*	*NW*	*CW*	*BW*	*If YES, source document*	
24	Control of providing transport services	X	X	X	**NW/CW/BW:** 1. Council Regulation (EC) n. 428/2009 2. EU Regulation no. 648/2005 (Security Amendment) 3. Act 39/2011 on Dual Use Items 4. Act 392/2011 on Trade with Defence Industry Products 5. Customs Act No. 199/2004 §§ 15-16	X	X	X	**NW/CW/BW:** 1. Council Regulation (EC) n. 428/2009 2. Customs Act No. 199/2004 §§ 15-16	

Which of the following legislation, procedures, measures, agencies exist to control border crossings, export import and other transfers of NW, CW, BW and Related Materials? Can violators be penalized?		*National legal framework*				*Enforcement, civil/criminal penalties, and measures of implementation, etc.*				*Remarks*
		YES				*YES*				
		NW	*CW*	*BW*	*If YES, source document*	*NW*	*CW*	*BW*	*If YES, source document*	
25	Control of importation	X	X	X	**NW/CW/BW:** 1. EU Regulation no. 648/2005 (Security Amendment), Article 1.14 2. Council Regulation No. 2913/1992 (Community Customs Code) 3. Commission Regulation No. 2454/1993 (Implementing Provisions of the Community Customs Code) 4. Customs Act 199/2004 5. Act 39/2011 on Dual Use Items **CW:** 1. CW Prohibition Act 2. Decree of the Government of the Slovak Republic No. 390/1997 on custom duties	X	X	X	**NW/CW/BW:** Customs Act No. 199/2004 § 73	
26	Extraterritorial applicability				N/A				N/A	
27	Other				N/A				N/A	

OP 6, 7 and 8 (d) — Control lists, Assistance, Information

State: **Slovakia**

Date: 14 December 2016

Can information be provided on the following issues?		*YES*		*Remarks*
1	Control lists — items (goods/equipment/ materials/technologies)	X	COUNCIL REGULATION (EC) No 428/2009 as amended — Community regime for the control of exports, transfer, brokering and transit of dual-use items Relevant regulations of Ministry of Economy	
2	Control lists — other			
3	Assistance offered	X	Prepared to consider any specific request from States lacking the legal and regulatory infrastructure or implementation experience	
4	Assistance requested		N/A	
5	Point of Contact for assistance	X	Ministry of Foreign and European Affairs of the Slovak Republic, Department of Disarmament and Counter-Terrorism, tel.: +421 2 5978 3621, fax: +421 2 5978 3629	
6	Assistance in place (bilateral/multilateral)			
7	Work with and inform industry	X	Seminars and individual consultations with industry on export controls	
8	Work with and inform the public	X	Information dissemination via Government websites	
9	Point of Contact	X	Ministry of Foreign and European Affairs of the Slovak Republic, Department of Disarmament and Counter-Terrorism, tel.: +421 2 5978 3621, fax: +421 2 5978 3629	
10	Other[4]			

[4] Information may include references to voluntary implementation national action plan and visits to States, at their invitation, by the 1540 Committee.